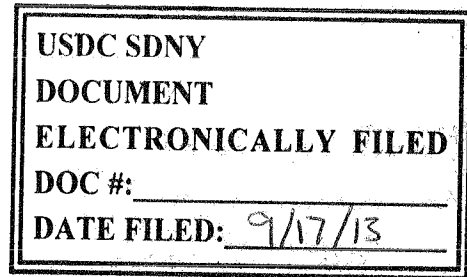


UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK



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IN RE: SMITH BARNEY TRANSFER :
AGENT LITIGATION :
-----X

05 Civ. 7583 (WHP)

ORDER

WILLIAM H. PAULEY III, District Judge:

Counsel for the parties having appeared for a hearing on September 4, 2013, the following is established:

1. In accord with the Court's instructions at the hearing, Plaintiffs are to file an amended motion for preliminary approval of the class settlement by September 24, 2013 that includes, inter alia, (a) that the funds be held in a Court Registry Investment System (CRIS) account, (b) that all disbursements be subject to prior Court approval, and (c) that the notices be revised for clarity and simplicity. Word counts for the both the original proposed notices and the revised proposals should be included in the submission;
2. The Court will hold a second preliminary approval hearing October 2, 2013 at 5:00 p.m. Counsel for the Defendants may appear by telephone.

Dated: September 17, 2013
New York, New York

SO ORDERED:


WILLIAM H. PAULEY III
U.S.D.J.

All Counsel of Record